

FICA and Business Requirements Annexure Linked Investments

FICA AND BUSINESS REQUIREMENTS

Unless previously provided to the Manager, please send verified/certified copies of the documents set out below. These are used to verify the identity of the Investor. Strictly, only clear, legible copies of identity and other documents will be accepted, the Manager reserves the right to ask for further documentation.

Individual: South Africa

- Green, bar-coded Identity document, Smart ID (back and front)
- If not available valid reason why identity document could not be provided together with a valid passport or valid driver's licence
- Authority to act (if applicable): power of attorney/ letter of appointment from the court and Identity document

Individual: Foreign national

- Valid passport/ valid asylum seekers permit / valid work permit
- Authority to act (if applicable): power of attorney/ letter of appointment from the court and Identity document

Minors

- Minor child's copy of South Africa bar-coded ID, valid passport (if foreign national) or birth certificate
- Proof of Guardianship reflecting the name of the parent who will control the investment on behalf of the minor, along with a certified ID of the parent / guardian. Where a minor child's birth certificate does not reflect the name of the parent investing on behalf of the minor, the parent must also complete the STANLIB 'Acting on behalf of a minor' form
- SARS document confirming the minor's tax number (if the minor is registered for tax)

Close corporations

- Founding Statement and Certificate of Incorporation (CK1)
- Amended Founding Statement (CK2), (If applicable)
- Authority to act: Members' Resolution
- Identity document, contact details of each member, persons authorised to act and of the Person Exercising Executive control over the CC.
- Conversion of Close Corporation (If a Close Corporation converts to another entity type, the following forms are applicable)
- Form CoR 18.1 – Application to convert a Close Corporation
- Form CoR 18.3 – Registration Certificate
- Related party annexure

Unlisted companies: South African

- Certificate of Incorporation (CM1 or CoR 15.1/CoR 14.1)
- Certified copy of Change of Name, if applicable (CM9 or CoR 9.1 or 2)
- Notice of Registered Office and Postal Address (CM22 or CoR 21)
- Current list of Directors (CM29 or CoR 39)
- Authority to act: Directors' Resolution and/or Delegation of Authority
- In respect of the Principal Executive Officer, each Director, each Authorised person, and each shareholder holding more than 25% of the voting rights of the company: trading/operating name, Certified copy of the Identity document, Proof of contact details
- Related party annexure

Medical aids

- Registration certificate (Council for Medical Schemes)
- Authority to act: trustees' resolution
- Identity document, contact details of trustees and persons authorised to act
- Related party annexure

Unlisted companies: Foreign

- Official Document of Incorporation (or CoR 17.1)
- Registration Certificate (CoR 17.3)
- If trading in RSA, documents for RSA unlisted companies
- Authority to act: Directors' Resolution
- Identity document/ Passport, contact details of related parties and persons authorised to act
- Related party annexure

Other entities (Legal persons)

- Founding Document/ Document of Constitution/ Registration Certificate
- Schools: Registration Certificate issued by the relevant Department of Education
- Private schools must be registered with the Department of Education in terms of Section 46 of the Schools Act
- Public Schools: Government Gazette which stipulates the full name of the school
- Regulated Funds: Certificate of Registration/ Letter from regulator confirming that the entity has been registered and copy of the Rules of the Fund - must bear the stamp of the Regulator
- Churches and other Non-Profit Organisations: registration certificate issued by the Non-Profit Organisation Directorate
- Governmental bodies other than municipalities: Government Gazette which includes the name of the relevant Municipality/ Governmental Body and proof of investment mandate
- Authority to act: Authorised Signatories' Resolution
- Identity document, contact details of Person/s Authorised to act and of the of the Person Exercising Executive control
- Related party annexure

Trusts

- Trust deed or other founding document
- Authority to act: letter of authority from the Master of the High Court and trustees' resolution
- Identity document, contact details of each trustee, each beneficiary, the founder and the persons authorised to act

Deceased estates

- Letter of Executorship/Letter of Authority
- Authority to act: special power of attorney (if applicable)/ executors'/ authorised signatories' resolution
- Identity document, contact details of persons authorised to act
- Related party annexure

Pension Funds

- Registration Certificate (Registrar of Pension Funds)
- Authority to act: Trustees' Resolution
- The registration status of the Pension Fund can be verified by visiting www.fsca.co.za
- Related party annexure



Listed Companies

- Registration Certificate (Registrar of Companies or equivalent regulator-foreign companies)
- Documentary evidence of listing (printout from the official website of the stock exchange on which the entity is listed is required)
- Authority to act: Directors' Resolution
- Related party annexure

If a 3rd party is acting on behalf of the investor the following is required:

1. Proof of authority i.e. power of attorney, mandate, resolution, court order, letters of appointment by the Master of the High Court.
2. Documents as for Individual FICA above, for the person who is acting on behalf of the Investor and a specimen signature on the ID/ passport.
3. Related party annexure. Related parties (beneficial owner, controller, signatory, power of attorney) to this investment account need to complete the related party annexure available on www.stanlib.com.

